



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Shikha Barman et al.

Art Unit : Unknown

Serial No. : 09/872,836

Examiner : Unknown

Filed : June 1, 2001

Title : DELIVERY SYSTEMS FOR BIOACTIVE AGENTS

Commissioner for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

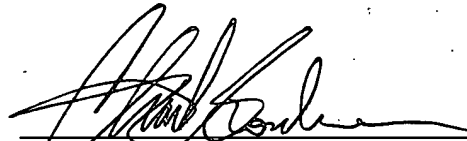
Applicant submits the references listed on the attached form PTO-1449, copies of which are enclosed.

This statement is being filed before the receipt of a first Office action on the merits.

Please apply any charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: October 5, 2001

  
Charles J. Boudreau  
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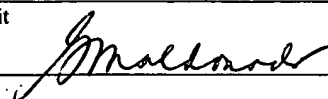
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Gina Maldonado

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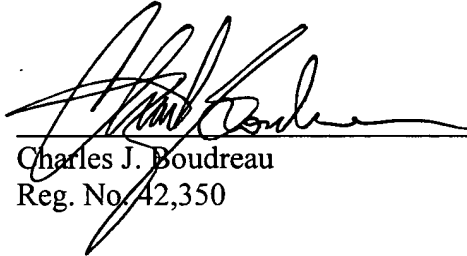
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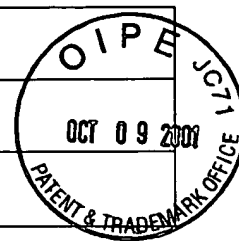
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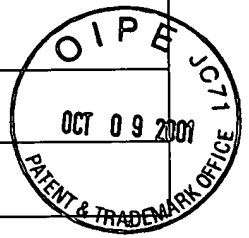
Substitute Form PTO-1449 (Modified)  <b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 08191-018001	Application No. 09/872,836
	Applicant Shikha Barman et al.		
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U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	3,520,970	7/21/1970	Lehmann et al.	424	25	
	AB	3,523,906	08/11/1970	Vrancken et al.	252	316	
	AC	3,737,337	06/05/1973	Schnoring et al.	117	100	
	AD	3,775,537	11/27/1973	Lehmann et al.	424	21	
	AE	3,821,422	06/28/1974	Morse et al.	426	72	
	AF	3,835,221	09/10/1974	Fulberth et al.	424	20	
	AG	3,860,733	01/14/1975	Morse et al.	426	302	
	AH	3,943,063	03/09/1976	Morishita et al.	252	316	
	AI	3,954,959	05/04/1976	Pedersen	424	21	
	AJ	3,972,999	08/03/1976	Tsuk	424	78	
	AK	4,016,254	04/05/1977	Seager	424	33	
	AL	4,083,949	04/11/1978	Benedikt	424	19	
	AM	4,182,778	01/08/1980	Hall et al.	426	72	
	AN	4,262,090	04/14/1981	Colby, Jr. et al.	435	91	
	AO	4,293,539	10/06/1981	Ludwig et al.	424	19	
	AP	4,321,253	03/23/1982	Beatty	424	35	
	AQ	4,384,975	05/24/1983	Fong	427	213.36	
	AR	4,462,839	07/31/1984	McGinley et al.	106	198	
	AS	4,518,433	05/21/1985	McGinley et al.	106	180	
	AT	4,623,588	11/18/1986	Nuwayser et al.	428	402.24	
	AU	4,637,905	01/20/1987	Gardner	264	4.3	
	AV	4,741,872	05/03/1988	De Luca et al.	264	4.7	
	AW	4,818,542	04/04/1989	DeLuca et al.	424	491	
	AX	4,897,268	01/30/1990	Tice et al.	424	422	
	AY	5,075,109	12/24/1991	Tice et al.	424	88	
	AZ	5,084,553	01/28/1992	Hess et al.	528	361	
	AAA	5,100,669	03/31/1992	Hyon et al.	424	426	

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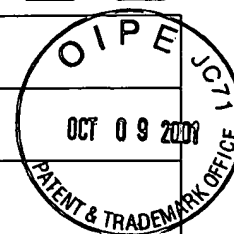
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U.S. Patent Documents							
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	ABB	5,126,147	06/30/1992	Silvestri et al.	424	497	
	ACC	5,160,745	11/03/1992	DeLuca et al.	424	487	
	ADD	5,180,765	01/19/1993	Sinclair	524	306	
	AEE	5,279,708	01/18/1994	Wood et al.	159	48.1	
	AFF	5,354,556	10/11/1994	Sparks et al.	424	419	
	AGG	5,366,733	11/22/1994	Brizzolara et al.	424	426	
	AHH	5,407,609	4/18/1995	Tice et al.	264	46	
	AII	5,413,797	05/09/1995	Khan et al.	424	489	
	AJJ	5,417,986	05/23/1995	Reid et al.	424	499	
	AKK	5,460,831	10/24/1995	Kossovksy et al.	424	493	
	ALL	5,531,925	07/02/1996	Landh et al.	252	299.01	
	AMM	5,580,859	12/03/1996	Felgner et al.	514	44	
	ANN	5,589,466	12/31/1996	Felgner et al.	514	44	
	AOO	5,622,649	04/22/1997	Hunter et al.	252	309	
	APP	5,622,657	04/22/1997	Takada et al.	264	4.32	
	AQQ	5,639,473	06/17/1997	Grinstaff et al.	424	450	
	ARR	5,648,096	07/15/1997	Gander et al.	424	489	
	ASS	5,650,173	07/22/1997	Ramstack et al.	424	489	
	ATT	5,651,990	07/29/1997	Takada et al.	424	497	
	AUU	5,652,283	07/29/1997	Boeckh et al.	524	47	
	AVV	5,656,297	08/12/1997	Bernstein et al.	424	484	
	AWW	5,656,469	08/12/1997	Tresco et al.	435	182	
	AXX	5,662,938	09/02/1997	Vert et al.	424	501	
	AYY	5,690,954	11/25/1997	Illum	424	434	
	AZZ	5,700,486	12/23/1997	Canal et al.	424	501	
	AAAA	5,723,269	03/03/1998	Akagi et al.	424	497	
	ABBB	5,783,567	07/21/1998	Hedley et al.	514	44	

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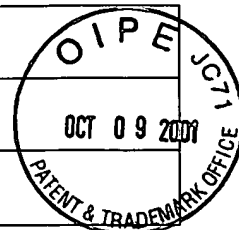


U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	ACCC	5,792,366	08/11/1998	Coville	210	734	
	ADDD	5,811,128	09/22/1998	Tice et al.	424	501	
	AEEE	5,814,344	09/29/1998	Tice et al.	424	501	
	AFFF	5,820,883	10/13/1998	Tice et al.	424	501	
	AGGG	5,853,763	12/29/1998	Tice et al.	424	489	
	AHHH	5,919,408	07/06/1999	Muller et al.	264	5	
	AIHH	5,945,126	08/31/1999	Thanoo et al.	424	489	
	AJJJ	6,096,331	08/01/2000	Desai et al.	424	422	
	AKKK	5,552,155	9/3/96	Bailey et al.	424	450	
	ALLL	6,013,284	1/11/00	Samain et al.	424	490	
	AMMM	5,853,752	12/29/98	Unger et al.	424	450	
	ANNN	5,965,434,	10/12/99	Wolff et al.	435	320.1	
	AOOO	5,665,383	9/9/97	Grinstaff et al.	424	450	
	APPP	5,739,118	4/14/98	Carrano et al.	514	544	
	AQQQ	5,962,428	10/5/99	Carrano et al.	514	544	
	ARRR	6,159,502	12/12/00	Russell-Jones et al.	424	489	
	ASSS	5,889,110	3/30/99	Hutchinson	525	54.1	

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Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	ATTT	0 027 662 A1	04/29/1981	EPO				
	AUUU	0 127 713 B1	12/12/1984	EPO				
	AVVV	0 161 640 A2	11/21/1985	EPO				
	AWWW	0 179 023 B1	04/23/1986	EPO				
	AXXX	0 250 038 A2	12/23/1987	EPO				
	AYYY	0 258 749 A2	03/09/1988	EPO				
	AZZZ	0 302 582 B2	02/08/1989	EPO				

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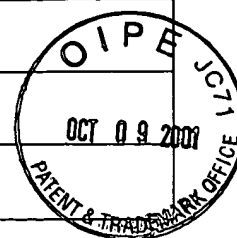
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							Yes	No
	AAAAA	0 330 180 B2	08/30/1989	EPO				
	ABBBB	0 333 523 B1	09/20/1989	EPO				
	ACCCC	0 334 062 A2	09/27/1989	EPO				
	ADDDD	0 374 531 A2	06/27/1990	EPO				
	AEEEE	0 451 390 A1	10/16/1991	EPO				
	AFFFF	0 451 391 A1	10/16/1991	EPO				
	AGGGG	0 471 036 B1	02/19/1992	EPO				
	AHHHH	0 475 178 A1	03/18/1992	EPO				
	AIIII	0 531 497 B1	03/17/1993	EPO				
	AJJJJ	0 737 750 A2	10/16/1996	EPO				
	AKKKK	2 185 979	08/05/1987	UK				
	ALLLL	CA 2,126,685	10/18/1993	CANADA				
	AMMM	EP 122 036	10/17/1984	EPO				
	ANNNN	EP 145 240	06/19/1985	EPO				
	AOOOO	EP 248 531	12/09/1987	EPO				
	APPPP	EP 0257915	03/02/1988	EPO				
	AQQQQ	EP 266 119	05/04/1988	EPO				
	ARRRR	EP 467 389	01/22/1992	EPO				
	ASSSS	EP 635 261	01/25/1995	EPO				
	ATTTT	EP 706 792	04/17/1996	EPO				
	AUUUU	EP 761 211	12/03/1997	EPO				
	AVVVV	FR 2660556	11/10/1991	FRANCE				
	AWWW	GB 2,147,501	05/15/1985	UNITED KINGDOM				
	AXXXX	WO 88/01213	02/25/1998	WIPO				
	AYYYY	WO 88/08300	11/03/1988	PCT				
	AZZZZ	WO 90/11092	10/04/1990	PCT				
	AAAAA	WO 90/13361	11/15/1990	WIPO				

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	AEEEE	WO 93/19183	09/30/1993	PCT				
	FFFFF	WO 94/04171	03/03/1994	PCT				
	AGGGG	WO 94/04260	03/03/1994	PCT				
	AHHHH	WO 94/09898	05/11/1994	PCT				
	IIIII	WO 94/18954	09/01/1994	WIPO				
	AJJJJ	WO 94/23699	10/27/1994	PCT				
	AKKKK	WO 94/23738	10/27/1994	PCT				
	LLLLL	WO 94/28873	12/22/1994	PCT				
	MMMM	WO 94/28874	12/22/1994	PCT				
	ANNNN	WO 95/03356	02/02/1995	WIPO				
	AOOOO	WO 95/03357	02/02/1995	WIPO				
	APPPP	WO 95/05853	03/02/1995	PCT				
	AQQQQ	WO 95/07072	03/16/1995	PCT				
	ARRRR	WO 95/17167	06/29/1995	PCT				
	ASSSS	WO 95/20660	08/03/1995	PCT				
	ATTTT	WO 95/21250	08/10/1995	PCT				
	AUUUU	WO 95/21931	08/17/1995	WIPO				
	AVVVV	WO 95/24929	09/21/1995	PCT				
	WWWWW	WO 95/31184	11/23/1995	PCT				
	AXXXX	WO 95/31187	11/23/1995	PCT				
	AYYYY	WO 95/35097	12/28/1995	PCT				
	AZZZZ	WO 96/00295	01/04/1996	PCT				
	AAAAA	WO 96/11671	04/25/1996	PCT				
	BBBBB	WO 96/29998	10/03/1996	PCT				

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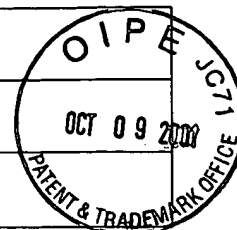
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	CCCCC	WO 97/17063	05/15/1997	PCT				
	DDDDD	WO 97/36578	10/09/1997	PCT				
	AEEEEEE	WO 98/31346	23.07.1998	WIPO				
	AFFFFFF	WO 98/31398	07/23/1998	PCT				
	GGGGG	WO 98/35654	08/20/1998	PCT				
	HHHHH	WO 96/36317	11/21/1996	PCT				
	AIIIIII	WO 97/42940	11/20/97	PCT				
	AJJJJJ	WO 98/51279	11/19/1998	PCT				
	KKKKK	WO 99/58112	11/18/1999	PCT				
	ALLLLL	WO 00/03660	1/27/00	PCT				
	MMMM	WO 96/20698	7/11/96	PCT				

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	NNNNN	Alexakis, T. et al., "Microencapsulation of DNA With Alginete Micropheres and Crosslinked Chitosan Membranes for in Vivo Application," Appl. Biochem. Biotech. 50:93-106 (1995).
	OOOOO	Alonso, Maria J. et al. "Determinants of release rate of tetanus vaccine from polyester microspheres" <u>Pharmaceutical Research</u> 10(7):945-953, 1993.
	APPPPP	Alpar et al., "Potential of Particulate Carriers for the Mucosal Delivery of DNA Vaccines", <u>Biochemical Society Transactions</u> , 25:337S, 1997
	QQQQQ	Amagai et al., "Autoantibodies against a Novel Epithelial Cadherin in Pemphigus Vulgaris, a Disease of Cell Adhesion," <u>Cell</u> , 67:869-877, 1991
	RRRRR	Bodmeier et al., "The Preparation and Evaluation of Drug-Containing Poly(dl-lactide) Microspheres Formed by the Solvent Evaporation Method," <u>Pharmaceutical Research</u> , 4:465, 466, 471, 1987
	ASSSS	T.A. Brown, "Genetechnologie für Einsteiger"
	ATTTTT	Thomas M.S. Chang, "Biodegradable Semipermeable Microcapsules Containing Enzymes, Hormones, Vaccines, and Other Biologicals" <u>Journal of Bioengineering</u> , 1, pages 25-31 (1976).
	UUUUU	Chasin et al., "Biodegradable Polymers as Drug Delivery Systems," University of Washington Libraries, pp. 1-41
	VVVVV	Chen et al., "Protective Immunity Induced...Encapsulated in Microparticles", <u>Journal of Virology</u> , Vol. 72, No. 7, July 1998, pp 5757-5761.
	WWW	Donald R. Cowsar et al., "Poly(lactide-co-glycolide) Microcapsules for Controlled Release of Steroids", <u>Methods in Enzymology</u> , 112, Pages 101-116 (May 1985)
	XXXXX	Crystal, "Transfer of Genes to Humans:...to Success", <u>Science</u> , Vol. 270, 20 October 1995, pp 404-410.
	YYYYY	Eldridge et al., "Biodegradable and Biocompatible...Toxin-Neutralizing Antibodies", <u>Infection and Immunity</u> , Vol. 59, No. 9 Sept. 1991 pp 2978-2986.

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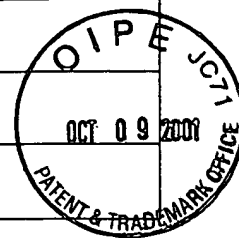
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Other Documents (include Author, Title, Date, and Place of Publication)		
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	AZZZZZ	Eldridge et al., "Controlled Vaccine...Microspheres Target The Peyer's Patches", <u>Journal of Controlled Release</u> , Vol. 11, Nos. 1-3, 1990, pp 205-214.
	AAAAA	Eppstein and Longenecker, "Alternative Delivery...Proteins As Drugs", <u>CRC Critical Review in Therapeutic Drug Carrier Systems</u> , Vol. 5, Issue 2, pp 99-139 (1988).
	BBBBB	Etlinger, "Carrier sequence selection - one key to successful vaccines", <u>Immunology Today</u> , Vol. 13, No. 2, 1992, pp 52-55.
	CCCCC	Florence, "The Oral...Nor Usual", <u>Pharm. Res.</u> , Vol. 14, No. 3, 1997, pp 259-266.
	DDDDD	Ghaderi, Raouf et al. "Effect of preparative parameters on the characteristics of poly (D, L-lactide-co-glycolide) microspheres made by the double emulsion method" <u>Int. J. Pharm.</u> 141(1,2):205-216, 1996.
	EEEEEE	Gref et al., "Biodegradable Long=Circulating Polymeric Nanospheres," <u>Science</u> , 263:1600-1603, 1994
	AFFFFFF	Gunzburg and Salmons, "Virus vector design in gene therapy", <u>Molecular Medicine Today</u> , pp 410-417, 1995.
	GGGGG	Heard et al., "HLA and autoimmune disease," <u>HLA and Disease</u> , pp. 123-151, 1994
	HHHHH	Hedley, "Genetic Modulation of Antigen Presentation," <u>MHC Molecules: Expression, Assembly &amp; Function</u> , Ch. 17, pp. 281-294; Editors, Robert G. Urban and Roman M. Chicz; published by R.G. Landes & Co., 1996
	IIIIIII	Jacobs et al., "High-Level Expression of...Protection Elicited in a Murine Model", <u>J. Virol</u> , Vol. 66, No. 4, April 1992, pp 2086-2095.
	AJJJJJJ	Jacobs et al., "Protection elicited by ...non-structural glycoprotein NSI", <u>J. Gen. Virol</u> , Vol. 75, Part 9, September 1994, pp 2399-2402.
	KKKKK	Jepson et al., "Comparison of ...Targeting to Intestinal M Cells", <u>J. Drug Targeting</u> , Vol. 1, 1993, pp 245-249.
	LLLLL	Jeyanthi et al., "Development of a Biodegradable...Peptide", <u>Pharm. Res.</u> , Vol. 8, No. 10, October 1991, PDD 7097.
	MMMM	Jones et al., "Oral Delivery of Micro-Encapsulated DNA Vaccines", <u>Dev Biol Stand. Basel</u> , Karger, Vol. 92, 1998, pp 149-155.
	NNNNN	Jones et al., "Orally Administered...Respiratory Infection", <u>Infect. Immun.</u> , Vol. 64, No. 2, February 1996, pp 489-494.
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EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)  <b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 08191-018001	Application No. 09/872,836
	Applicant Shikha Barman et al.		
	Filing Date June 1, 2001	Group Art Unit	



Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	XXXXXX	Nakano et al., "Sustained Urinary Excretion of Sulfamethizole Following Oral Administration of Enteric Coated Microcapsules in Humans," <u>International Journal of Pharmaceutics</u> , 4:291-298, 1980
	YYYYYY	Nellore et al., "Application of Biodegradable...Hepatitis B Surface Antigen Vaccination System", <u>Pharmaceutical Research</u> , Vol. 8, No. 10, pp S151, Abstract No. PDD 7098 (1991).
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